

CIRCULAR NO. A-11

PART 6

PREPARATION AND SUBMISSION OF STRATEGIC PLANS, ANNUAL PERFORMANCE PLANS, AND ANNUAL PROGRAM PERFORMANCE REPORTS



**EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET**

JULY 2003

**SECTION 200—OVERVIEW OF STRATEGIC PLANS, PERFORMANCE BUDGETS, AND
ANNUAL PROGRAM PERFORMANCE REPORTS (INCLUDING PERFORMANCE AND
ACCOUNTABILITY REPORTS)**

Summary Schedule

Initial FY 2005 performance budget to OMB.....	September 2003
Updated and revised strategic plan sent to Congress and OMB.....	by September 2003 (within three years of the date of transmittal of the previous updated and revised strategic plan to Congress)
Revised final FY 2004 performance plan completed.....	October-December 2003 (after final appropriations action)
FY 2005 Congressional justification (incorporating performance budget) sent to Congress.....	February-March 2004
Interim adjustments to strategic plans sent to Congress.....	February-March 2004 (with performance budget for FY 2005)
FY 2003 performance and accountability reports* to President and Congress.....	by January 30, 2004
FY 2003 program performance report to President and Congress.....	by February 27, 2004
Initial FY 2006 performance budget to OMB.....	September 2004
FY 2004 performance and accountability reports* to President and Congress.....	by November 15, 2004
FY 2004 program performance report to President and Congress.....	by February 27, 2005
Agencies should note that OMB Circular A-19 on Legislative Coordination and clearance applies to plans and reports sent to Congress.	

* Performance and accountability reports are prepared by the Cabinet departments and nine major agencies covered by the Chief Financial Officers Act. Program performance reports are prepared by agencies not preparing performance and accountability reports.

200.1 Overview

Strategic plans, annual performance plans, and annual program performance reports comprise the main elements of the Government Performance and Results Act (GPRA, or the Results Act). Together, these elements create a recurring cycle of planning, program execution, and reporting.

Beginning with the budget for FY 2005, agencies will prepare a performance budget in lieu of the annual performance plan. The performance budget should satisfy all statutory requirements for the annual performance plan. Please see sections [51](#) and [220](#) for further information on performance budgets. Section 210 contains information on the preparation and submission of strategic plans, and section 230 covers the preparation and submission of annual performance reports, including the performance report portion of the combined performance and accountability report prepared by 24 departments and agencies.

200.2 Definitions

General goal: These goals are included in a strategic plan. A general goal defines how an agency will carry out its mission over a period of time. The goal is expressed in a manner which allows a future assessment to be made of whether the goal was or is being achieved. The goal may be of a programmatic, policy, or managerial nature. General goals are typically outcome-type goals.

Long-range performance measure: A term used in the PART evaluations. A general goal or outcome goal.

Outcome goal: A description of the intended result, effect, or consequence that will occur from carrying out a program or activity.

Output goal: A description of the level of activity or effort that will be produced or provided over a period of time or by a specified date, including a description of the characteristics and attributes (e.g., timeliness) established as standards in the course of conducting the activity or effort.

Performance goal: Also called an annual performance measure by the PART. These goals are included in the performance budget. A performance goal sets a target level of performance which is expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. Performance goals can be either outcome or output goals.

Performance indicator: Can be included in a performance budget and is directly associated with a performance goal. A particular value or characteristic used to measure output or outcome.

Performance measure: A performance goal or performance indicator.

Program evaluation: An assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

Strategic goal: Also called a strategic objective. A statement of aim or purpose that agencies include in a strategic plan. Typically, a strategic goal typically will not be directly measurable. Strategic goals can be used to group outcome goals in a performance budget.

For additional information on developing performance measures and definitions, please see the "Performance Measurement Challenges and Strategies" at www.whitehouse.gov/omb/part/.

200.3 Applicability

For the purposes of sections 210, 220, and 230 of this Circular, "agency" means cabinet departments and other establishments of the Federal government, including independent agencies and Government corporations. A government corporation is a corporation owned or controlled by the Federal government. The Legislative Branch and the Judiciary are not subject to GPRA requirements.

Except as noted below, agencies are required to submit strategic plans, annual performance budgets, and annual program performance reports to the President, Congress, and OMB in accordance with these instructions. The Central Intelligence Agency and the Postal Rate Commission are not subject under this statute to the requirements for strategic plans, annual performance plans, or program performance reports. These instructions also do not apply to the Postal Service; preparation and submission of the Postal Service's strategic plan and performance plan are covered by section 7 of GPRA.

OMB may exempt independent agencies with \$20 million or less in annual outlays from the requirements for a strategic plan, annual performance plan (performance budget), and annual program performance report. GPRA does not authorize any exemption of a component of a department or independent agency, such as a bureau or office that annually spends \$20 million or less.

